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PATENT  
Attorney Docket No. CTX-079

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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JUL 31 2002

Technology Center 2100

APPLICANTS: Panasyuk  
SERIAL NO.: 10/083,324 GROUP NO.: 2151  
FILING DATE: February 26, 2002 EXAMINER: Not Yet Assigned  
TITLE: SECURE TRAVERSAL OF NETWORK COMPONENTS

Assistant Commissioner for Patents  
Washington, D.C. 20231

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. Copies of the patents and publications are enclosed.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed:

- ☒ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☐ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**
- ☐ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or
- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**

- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

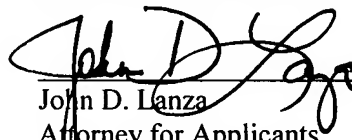
It is respectfully requested that each of the patents and publications listed on the attached Form PTO-1449, and other information contained herein, be made of record in this application.

#### STATEMENT

As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that:

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Respectfully submitted,

  
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Attorney for Applicants  
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Date: July 23, 2002  
Reg. No. 40,060

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FORM PTO - 1449

ATTORNEY DOCKET NO.: CTX-079

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## INFORMATION DISCLOSURE STATEMENT

APPLICANTS: Panasyuk et al.

Technology Center 2100

SERIAL NO.: 10/083,324

FILING DATE: February 26, 2002 GROUP: 2151

## U.S. PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A1	6,289,461	9/11/01	Dixon	713	201	6/9/98
	A2	6,131,116	10/10/00	Riggins et al.	709	219	12/13/96
	A3	5,956,407	9/21/99	Slavin	380	30	7/8/97
	A4	5,944,791	8/31/99	Scherpbier	709	218	10/4/96
	A5	5,794,207	8/11/98	Walker et al.	705	23	9/4/96
	A6	5,742,757	4/21/98	Hamadani et al.	395	186	5/30/96
	A7	5,737,416	4/7/98	Cooper et al.	380	4	8/2/96
	A8	5,729,734	5/17/98	Parker et al.	395	609	11/3/95
	A9	5,689,708	11/18/97	Regnier et al.	395	682	3/31/95
	A10	5,671,354	9/23/97	Ito et al.	395	187.01	2/23/96
	A11	5,657,390	8/12/97	Elgamal et al.	380	49	8/25/95
	A12	5,638,513	6/10/97	Ananda	395	188.01	6/7/95
	A13	5,604,490	2/18/97	Blakley, III et al.	340	825.31	9/9/94
	A14	5,592,549	1/7/97	Nagel et al.	380	4	6/15/95
	A15	5,564,016	10/8/96	Korenshtein	395	186	9/29/95
	A16	5,557,732	9/17/96	Thompson	395	161	8/11/94
	A17	5,553,139	9/3/96	Ross et al.	380	4	4/4/94
	A18	5,550,981	8/27/96	Bauer et al.	395	200.06	6/21/94
	A19	5,550,976	8/27/96	Henderson et al.	395	200.06	12/8/92
	A20	5,544,246	8/6/96	Mandelbaum et al.	380	23	9/23/93
	A21	5,524,238	6/4/96	Miller et al.	395	600	3/23/94
	A22	5,509,070	4/16/96	Schull	380	4	12/15/92
	A23	5,504,814	4/2/96	Miyahara	380	4	1/24/94
	A24	5,491,750	2/13/96	Bellare et al.	380	21	12/30/93

EXAMINER

DATE CONSIDERED



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	A25	5,455,953	10/3/95	Russell	395	739	11/3/93
	A26	5,412,717	5/2/95	Fischer	380	4	5/15/92
	A27	5,390,297	2/14/95	Barber et al.	395	200	11/10/87
	A28	5,204,897	4/20/93	Wyman	380	4	7/14/92
	A29	5,359,721	10/25/94	Kempf et al.	395	425	12/18/91
	A30	4,924,378	5/8/90	Hershey et al.	364	200	6/13/88
	A31	4,649,510	3/10/87	Schmidt	364	900	4/30/82
	A32	2001/0056547	12/27/01	Dixon	713	200	8/17/01

## FOREIGN PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)
	B1	WO 98/52344	11/19/98	PCT			5/12/98	No	Yes
	B2	WO 94/28670	12/8/94	PCT			5/30/94	No	Yes
	B3	WO 94/14114	11/29/93	PCT			6/23/94	No	Yes
	B4	0 734 144 A2	9/25/96	EPO			3/4/96	No	No
	B5	0 643 514 A2	3/15/95	EPO			7/28/94	No	Yes
	B6	0 384 339 A2	8/29/90	EPO			2/19/90	No	Yes
	B7	0 679 980 A1	11/2/95	EPO			4/18/95	No	Yes
	B8	0 851 628 A1	7/1/98	EPO			12/23/96	No	Yes
	B9	2 168 831 A	6/25/86	GB			11/13/84	No	Yes

EXAMINER

DATE CONSIDERED

## OTHER ART, JOURNAL ARTICLES, ETC.

EXAM. INIT.	OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)	
	C1	Maxemchuk, "The Use of Communications Networks to Increase Personal Privacy," <i>IEEE Infocom '95, The Conference on Computer Communications</i> , Vol. 2, April 2-6 1995, Boston, MA, pp. 504-512.

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C2	Ryan et al. "An attack on a recursive authentication protocol A cautionary tale," <i>Information Processing Letters</i> , 65 (1998), pp. 7-10.
C3	Otway et al., "Efficient and Timely Mutual Authentication," The ANSA Project, 24 Hills Road, Cambridge, CB2 1JP, UK, (ansa%alvey.uk@cs.ucl.ac.uk), pp. 8-9.
C4	Paulson, "Mechanized Proofs for a Recursive Authentication Protocol," <i>1997 IEEE</i> , pp. 84-94.
C5	Gong, "Using One-Way Functions for Authentication," University of Cambridge Computer Laboratory, Cambridge CB2 3QG, England, (lg@cl.cam.ac.uk), July 1989, pp. 8-11.
C6	"Network Neighborhood," <a href="http://webopedia.internet.com/TERM/N/Network_Neighborhood.html">http://webopedia.internet.com/TERM/N/Network_Neighborhood.html</a> , printed 12/27/99, 2 pgs.
C7	"Win95 Tutorial," <a href="http://orion.valencia.cc.fl.us/tutorials/Win95demo/">http://orion.valencia.cc.fl.us/tutorials/Win95demo/</a> , printed 12/27/99, 2 pgs.
C8	Nicholson, "How to hold mobile users to account," <i>Financial Times</i> , Tues., May, 2, 2000, 3 pgs.
C9	Savvas, "Handset giants launch security system," <a href="http://www.computerweekly.com">www.computerweekly.com</a> , 1 pg.
C10	Seife, "Algorithmic Gladiators Vie for Digital Glory," <a href="http://www.sciencemag.org">www.sciencemag.org</a> , <i>Science</i> , Vol 288, May 19, 2000, pp. 1161 and 1163.
C11	Kay, "Authentication." <i>Computerworld</i> , March 27, 2000, pp. 77.
C12	Millman, "Give Your Computer the Finger," <i>Computerworld</i> , March 27, 2000, 1 pg.
C13	Allison et al., "File System Security: Secure Network Data Sharing for NT and UNIX," © 2000 Network Appliance, Inc., 8 pgs.
C14	Yager, "OS Paradise," <i>Byte</i> , November 1995, pp 81-82, 84, 86, 89, 92, 95-96, 98.
C15	Neuman, "Proxy-Based Authorization and Accounting for Distributed Systems," <i>1993 IEEE</i> , 5/25/93, pp. 283-291.
C16	IBM Operating System/2 Version 1.2 Profile Validation Hooks, November 22, 1989, © International Business Machines Corporation 1989. pp. 1-26.
<b>EXAMINER</b>	
<b>DATE CONSIDERED</b>	

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Attorney Docket No. CTX-079

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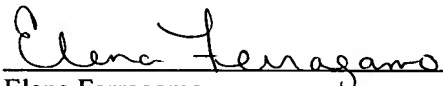
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SERIAL NO.: 10/083,324 GROUP NO.: 2151  
FILING DATE: February 26, 2002 EXAMINER: Not Yet Assigned  
TITLE: SECURE TRAVERSAL OF NETWORK COMPONENTS

**CERTIFICATE OF FIRST CLASS MAILING UNDER 37 C.F.R. 1.8**

I hereby certify that this correspondence, and any documents referred to as enclosed herein, are being deposited with the United States Postal Service as first class mail, postage prepaid, in an envelope addressed to the Commissioner for Patents, Washington, DC 20231 on July 23, 2002

  
Elena Ferragamo

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Submitted herewith are:

1. Transmittal Form (1 pg.);
2. Information Disclosure Statement (2 pgs.);
3. Form PTO-1449 (3 pgs.) and cited references A1-A32, B1-B9 and C1-C16;
4. Certificate of First Class Mailing (1 pg.); and
5. A return receipt postcard.

# TRANSMITTAL FORM



Application Serial Number	10/083,324
Filing Date	February 26, 2002
First Named Inventor	Panasyuk et al.
Group Art Unit	2151
Examiner Name	Not Yet Assigned
Attorney Docket No.	CTX-079
Patent No.	Not applicable
Issue Date	Not applicable

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Technology Center 2100

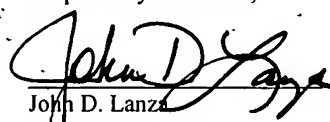
## ENCLOSURES (check all that apply)

<input type="checkbox"/> Fee Transmittal Form <ul style="list-style-type: none"> <li><input type="checkbox"/> Check Attached</li> <li><input type="checkbox"/> Copy of Fee Transmittal Form</li> </ul>	<input type="checkbox"/> Copy of Notice to File Missing Parts of Application (PTO-1553)	<input type="checkbox"/> Notice of Appeal to Board of Patent Appeals and Interferences
<input type="checkbox"/> Amendment/Response <ul style="list-style-type: none"> <li><input type="checkbox"/> Preliminary</li> <li><input type="checkbox"/> After Final</li> <li><input type="checkbox"/> Affidavits/declaration(s)</li> <li><input type="checkbox"/> Letter to Official Draftsperson including Drawings [Total Sheets ____]</li> </ul>	<input type="checkbox"/> Formal Drawing(s)	<input type="checkbox"/> Appeal Brief (in triplicate)
<input type="checkbox"/> Petition for Extension of Time	<input type="checkbox"/> Request For Continued Examination (RCE) Transmittal	<input type="checkbox"/> Status Inquiry
<input checked="" type="checkbox"/> Information Disclosure Statement <ul style="list-style-type: none"> <li><input checked="" type="checkbox"/> Form PTO-1449</li> <li><input checked="" type="checkbox"/> Copies of IDS Citations</li> </ul>	<input type="checkbox"/> Power of Attorney (Revocation of Prior Powers)	<input checked="" type="checkbox"/> Return Receipt Postcard
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Certificate of First Class Mailing under 37 C.F.R. 1.8
<input type="checkbox"/> Sequence Listing submission <ul style="list-style-type: none"> <li><input type="checkbox"/> Paper Copy/CD</li> <li><input type="checkbox"/> Computer Readable Copy</li> <li><input type="checkbox"/> Statement verifying identity of above</li> </ul>	<input type="checkbox"/> Executed Declaration and Power of Attorney for Utility or Design Patent Application	<input type="checkbox"/> Certificate of Facsimile Transmission under 37 C.F.R. 1.8
	<input type="checkbox"/> Small Entity Statement	<input type="checkbox"/> Additional Enclosure(s) (please identify below)
	<input type="checkbox"/> CD(s) for large table or computer program	
	<input type="checkbox"/> Amendment After Allowance	
	<input type="checkbox"/> Request for Certificate of Correction <ul style="list-style-type: none"> <li><input type="checkbox"/> Certificate of Correction (in duplicate)</li> </ul>	

## CORRESPONDENCE ADDRESS

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## SIGNATURE BLOCK

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